



PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/656,795	
	Filing Date	09/06/03	
	First Named Inventor	Ashish Thusoo	
	Art Unit	2168	
	Examiner Name	Jay A. Morrison	
Total Number of Pages in This Submission	97	Attorney Docket Number	OI7035722001

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO/SB/08B (2 pages); 15 references and postcard for acknowledgment of receipt.
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Bingham McCutchen		
Signature			
Printed Name	Peter C. Mei		
Date	March 23, 2006	Reg. No.	39,768

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature			
Typed or printed name	Laura A. Huntington	Date	March 23, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Dated: 3/23/06

Laura A. Huntington
Laura A. Huntington

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Ashish Thusoo et al.

Serial No.: 10/656,795

Filing Date: September 6, 2003

For: Method and System of Handling
Document Operation Requests on
Documents Having Large Collections with
Constrained Memory

Confirmation No.: 7099

Examiner: Jay A. Morrison

Group Art Unit: 2168

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Supplemental Information Disclosure Statement (IDS) are being brought to the attention of the Office. The items are listed on the attached forms PTO/SB/08B. The Examiner is requested to make these documents of record.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant(s) is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant(s) as such.

1. Timing of the Information Disclosure Statement:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) with the new patent application submitted herein (37 CFR § 1.97(a)); or (2) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d) or (3) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (4) before the mailing of a first Office action on the merits; or (5) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

☒ However, if the undersigned is in error in this regard, Applicant(s) respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant(s) respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office Action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☐ Charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ The fee due under 37 CFR § 1.17(p) is being concurrently submitted with the filing of an electronic IDS submission. Thus, no additional fee is required.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant(s) respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the

issue fee. A statement under 37 CFR § 1.97(e) is included below. Charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ This IDS is being submitted under 37 CFR § 1.97(i), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee.

STATEMENT UNDER 37 CFR § 1.97(e):

☐ That each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS; or

☒ That no item of information contained in the IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the IDS.

2. Copies of the Cited Items:

☒ Copies of all of the items listed on the attached forms PTO/SB/08B are enclosed.

☐ Copies of only the following items listed on the attached forms PTO/SB/08A (Item Nos. *) and PTO/SB/08B (Item Nos. *) are enclosed.

☐ Copies of the following items listed on the attached form PTO/SB/08A (Item Nos. *) are not enclosed. See 37 CFR 1.98(a)(2)(i).

☐ Copies of the following documents listed in PTO/SB/08A (Item Nos. *) and PTO/SB/08B (Item Nos. *) are not supplied as they were previously cited by the Office or submitted in Information Disclosure Statements in related applications (Application No. *, filed *) and relied upon in this application for an earlier filing date under 35 USC § 120. See 37 CFR § 1.98(d). The Examiner is requested to make these documents of record.

☐ Copies of the following items listed on the attached forms PTO/SB/08A (Item Nos. *)

and PTO/SB/08B (Item Nos. *) were cited in a foreign examination report in a related case. A copy of the search report and the cited references not already of record in this application are attached hereto.

3. Concise Explanation of Relevance:

☒ A concise explanation of relevance of the items listed on forms PTO/SB/08B is not given.

☐ A concise explanation of relevance of [some of] the items listed on forms PTO/SB/08A and PTO/SB/08B is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references (copy attached).

4. Related Applications:

☐ Applicant(s) brings to the Office's attention the following related application(s): U.S. Patent Application No. * filed *, now U.S. Patent No. *.

5. Conclusion:

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; and
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

It is respectfully requested that the Examiner indicate consideration of the cited references by returning a copy of the attached forms PTO/SB/08B with initials or other appropriate marks. In the unlikely event that the transmittal letter is separated from this document and the U.S. Patent Office determines that an extension and/or other relief is required, Applicant(s) petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost

of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-2518**, referencing **OI7034312001**. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: _____

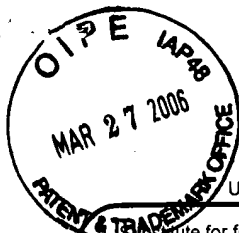
3/23/06

Respectfully submitted,

By: _____

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	10/656,795
Filing Date	09/06/2003
First Named Inventor	Ashish Thusoo
Art Unit	2168
Examiner Name	Jay A. Morrison
Attorney Docket Number	OI7035722001

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A	BAEZA-YATES, Richardo et al.; Second Edition of the "XML and Information Retrieval" Workshop Held at SIGIR' 2002, Tampere, Finland, August 15, 2002, pp. 53 - 57; SIGIR Forum, Fall 2002, Vol. 36, No. 2.	
	B	CALADO, Pavel P. et al.; The Web-DL Environment for Building Digital Libraries from the Web; Proceedings of the Third ACM/IEEE-CS Joint Conference on Digital Libraries; pp. 346-357; IEEE Computer Society; May 2003.	
	C	CARMEL, David et al.; Searching XML Documents via XML Fragments; Proceedings of the 26 th Annual International ACM SIGIR Conference on Research and Development in Informal Retrieval; July 28 - August 1, 2003; pp. 151-158; ACM Press; Toronto, Canada.	
	D	CHIDLOVSKII, Boris; Schema Extraction From XML Collections; Proceedings of the 2 nd ACM/IEEE-CS Joint Conference on Digital Libraries; July 13 - 17; 2002; pp. 291-292; ACM Press; Portland, Oregon, USA.	
	E	FUHR, Norbert et al.; Index Compression vs. Retrieval Time of Inverted Files for XML Documents; Proceedings of the 11 th International Conference on Information and Knowledge Management; November 4 - 9, 2002; pp. 662 - 663; ACM Press; McLean, Virginia, USA.	
	F	FUHR, Norbert et al.; HyREX: Hyper-media Retrieval Engine for XML; Proceedings of the 25 th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval; August 11 - 15, 2002, p. 449; ACM Press; Tampere, Finland.	
	G	GUO, Lin et al.; XFRANK: Ranked Keyword Search over XML Documents; Proceedings of the 2003 ACM SIGMOD International Conference on Management of Data; June 9 - 12, 2003; pp. 16 - 27; ACM Press; San Diego, California, USA.	
	H	IPEIROTIS, Panagiotis G.; Extending SDARTS: Extracting Metadata from Web Databases and Interfacing with the Open Archives Initiative; Proceedings of the 2 nd ACM/IEEE- Joint Conference on Digital Libraries; July 13 - 17, 2002; pp. 162 - 170; ACM Press; Portland, Oregon, USA.	
	I	KAMPS, Jaap et al.; XML Retrieval: What to Retrieve?: Proceedings of the 2003 ACM SIGMOD International Conference on Management of Data; July 28 - August 1, 2003; pp. 409 - 410; ACM Press; Toronto, Canada.	
	J	KOTSAKIS, Evangelos; Structured Information Retrieval in XML Documents; Proceedings of the 2002 ACM Symposium on Applied Computing; March 2002; pp. 663 - 667; ACM Press; Madrid, Spain.	
	K	LARSON, Ray R.; Distributed Resource Discovery: Using Z39.50 to Build Cross-Domain Information Servers; Proceedings of the 1 st ACM/IEEE-CS Joint Conference on Digital Libraries; June 24 - 28, 2001; pp/ 52 - 53; ACM Press; Roanoke, Virginia, USA.	

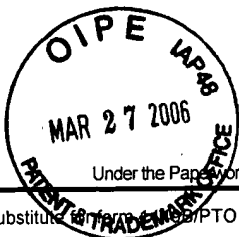
Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for PTO

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(Use as many sheets as necessary)

Sheet 2 of 2

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Application Number	10/656,795
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First Named Inventor	Ashish Thusoo
Art Unit	2168
Examiner Name	Jay A. Morrison
Attorney Docket Number	OI7035722001

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A	LARSEN, Ray R.: Distributed Resource Discovery and Structured Data Searching with Cheshire II; Proceedings of the 24 th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval; September 9 - 12, 2001; New Orleans, Louisiana, USA; p. 455; ACM Press.	
	B	MALAICA, Susan et al.; Standards for Databases on the Grid; ACM SIGMOD Record; September 2003; Volume 32 Issue 3; pp. 92- 100; ACM Press.	
	C	MOH, Chuang-Hue et al.; Re-Engineering Structures from Web Documents; Proceedings of the Fifth ACM Conference on Digital Libraries; June 2000; pp. 67 - 76; ACM Press.	
	D	POKORNY, Jaroslav; Modeling Stars Using XML; Proceedings of the 4 th ACM International Workshop on Data Warehousing and OLAP; November 9, 2001; Atlanta, Georgia, USA; pp. 24 -31; ACM Press.	
	E		
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	I		
	J		
	K		

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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